

APPENDIX C

BUDGET PREPARATION INSTRUCTIONS

GENERAL INSTRUCTIONS FOR FY 20XX BUDGET PREPARATION

Your **FY 20XX BUILDING BLOCK REQUEST** is composed of four parts:

- I. FY 20XX BASE BUDGET INCREASE REQUEST (Form A)**
- II. FY 20XX BUILDING BLOCK/ENHANCEMENT REQUEST (Form B)**
 - A. FY 20XX Building Block/Enhancement Request Summary
 - B. FY 20XX Building Block/Enhancement Narrative Request forms
- III. FY 20XX ADDITIONAL RESOURCE REQUEST (Form C)**
 - A. Education
 - B. Information Technology
 - C. Information Services
 - D. Court Security
 - E. Development and Improvement Projects
- IV. Prioritized Summary of Budget Requests**

Before beginning work on your FY 20XX Building Block Request, please read through the instructions for each section.

(Example)
INSTRUCTIONS FROM THE JUDICIAL COUNCIL

1. A Standard Budget Base Request increase will be prepared by the administrative office. However, you may submit on a FORM A your request for Standard Budget adjustments to be submitted to the 20XX (the year before this budget plan) Legislature.
 2. Limit Building Blocks to five percent of your base budget. Building Blocks must be based upon distinct programs or concepts. Requests should be prioritized by 1) program and 2) in one percent increments. Two separate prioritization lists should be submitted. (See example budget request). Any base budget adjustment submitted is to be included in the 5% limit.
 3. The Judicial Council will limit the funding request for Building Blocks submitted to the Governor and the Legislature based upon the level noted in the Governor's Guidelines.
 4. The Boards of Judges are requested to submit their highest priority requests.
 5. Unless legislation is submitted to the Council for review in the Planning Workshop, the Council will not support the legislation. Only if it is of an emergency nature will the Council consider legislation outside of the Workshop.
4. Time frames will be strictly adhered to.

FURTHER INFORMATION ON GUIDE LINES WILL COME AS SOON AS THE IMPACT OF THE LEGISLATIVE SESSION ARE EVALUATED. AT THAT TIME, THESE INSTRUCTIONS WILL BE EITHER MODIFIED OR CHANGED. AT THIS TIME, THE INSTRUCTIONS REFLECT THE DIRECTIONS OF THE COUNCIL IN PREVIOUS YEARS.

PART I: BUILDING BLOCK REQUEST – FORM A

Building Block Form A has one part: the Base Budget Increase Request form.

The Base Budget Increase Request form is optional. The Court Finance Department will submit an overall base budget increase request to the Judicial Council for all levels of court. However, you may have special needs that the finance department is unaware of that should be included in a base budget request. This may include:

- Additional funding for Motor Pool vehicles
- Additional Postage due to increased mailings
- Communications expense due to new system or additional lines

Any items not readily apparent should be noted. You may list simply by account code for the entire district, or specify by ORG and account code within the district.

PART II: BUILDING BLOCK REQUEST — FORM B

Building Block Request FORM B has two parts; the WORKSHEET and your NARRATIVE JUSTIFICATION.

YOU MUST USE A SEPARATE BUILDING BLOCK REQUEST WORKSHEET (WITH ITS OWN BUILDING BLOCK NARRATIVE REQUEST FORM) FOR EACH NEW PROGRAM YOU ARE REQUESTING.

Building Blocks are major expansions of your base budget for which new money must be approved and appropriated by the state legislature.

Building Block items include

- **all new FTE positions**, (Clerks, probation officers, judges, etc.)
- **new programs**, (alternative dispute resolution, video-tape record of proceedings, multi-track case processing, etc.)
- **supplanting federal funds or restricted funds** with General Fund.
- **out-of-state travel** for those personnel in your organization who are serving as officers in national court organizations.
- **motor pool vehicles**—capitalization cost of acquiring the vehicle

Section I: Building Block Worksheet

PERSONAL SERVICES — When filling out the Personal Services section for **new positions**, list the number of full-time employees, title, grade and salary (refer to the Salary and Benefit Table included in your Budget Preparation aids). Include fringe benefits and total the request. If the Excel document is used, the formula for totaling this and other columns is already built in.

A table can be found in Section IV providing the cost for various positions in the judiciary.

TRAVEL — The travel request is based upon what you estimate the cost for mileage reimbursement, meals, and lodging will be for the new FTE(s) and/or program. If you anticipate expenditures for your personnel to travel as officers of a national or state court organization for example, please list the amounts anticipated for FY 20XX. Total your request.

CURRENT EXPENSE — The current expense portion of the worksheet is the same as the travel section. However, there are sections for “one-time” purchases, such as desks and chairs, and sections for “ongoing” costs, such as bailiff security. List the account number under **Sub-object** and a description of the account in the next column. List the amount requested for FY 20XX. Total your request.

CAPITAL OUTLAY — Capital outlay for items over \$5,000 in cost (i.e., Copy machines, motor pool vehicles) and other charges are separate from current expense. However, you should provide sufficient information as to the type and number of items so costs can be estimated. Data processing equipment is an example of a capital expense.

FUNDING — Your source of funding can be from the General Fund, restricted accounts, dedicated credits, or federal funds for FY 20XX

TOTAL COST — The request submitted is subject to change based upon benefit rate changes or changes in the salary structure or changes in other costs. Your submission is actually an estimate. The amount submitted to the Judicial Council or to the Legislature may vary from that originally submitted.

Section II: Building Block Narrative Request Form

When completed, this form should contain enough detailed information about each program or category on the worksheet to “sell” your proposal to all three branches of government.

10 ELEMENTS NECESSARY FOR A GOOD BUILDING BLOCK REQUEST

1. Present your case as thoroughly and carefully as possible.
2. Clearly identify the problem(s).
3. Thoroughly explain and document needs.
4. Use additional pages, if necessary.
5. Include supporting documentation.
6. List the solution(s) you recommend
7. State the reason(s) for choosing the solution(s) you recommend.
8. Support your recommendation(s) with well-expressed justifications.
9. Identify other alternatives noting whether each may or may not be as cost-effective as your solution(s).
10. Relate your request to caseload data, weighted caseload formulas, established Board and Council priorities, and refer to recommendations from other agencies, task forces, law enforcement, etc.

The more pertinent and specific the information you supply, the greater the likelihood of funding. The inclusion of recommendations and priorities from law enforcement, court, and non-court related agencies and boards will not only help keep you “on track,” but will lend more credibility to your proposal.

CAUTION: *You can produce a data overload. Provide sufficient justification, but do not give so much data that your reader is overwhelmed.*

Example of miscommunication of a Building Block need:

The District Court wanted metal detectors and an X-ray machine at each entrance to the court building to eliminate weapons. However, the Building Block Narrative disclosed only the general need for “enhanced security,” while clearly identifying a “fenced parking compound” as the court’s “number-one priority.”

The Legislative Fiscal Analyst recommended \$13,000 for a fence around the judges’ parking stalls! The Narrative prioritized alternatives, but failed to clearly link the need, “**Elimination of weapons,**” with the most cost-effective solution, “**Magnetometers and x-ray machines.**”

Make sure you are clear about what you want... your Building Block Request may be funded exactly as written!

PART III — REQUEST FOR CENTRALIZED RESOURCES — FORM C

FORM C is a mechanism to provide input from your court to the AOC for the five centrally managed and coordinated budgets: Judicial Education, Information Technology, Information Services, Court Security, and Development and Improvement Projects. These forms provide the information needed by each program director for analysis. **A color coded Form C is provided for each; they should be reproduced on the colors indicated, using the white masters provided.** The Form C's should be kept separate from the building block request to facilitate the transfer of the Form C to the appropriate Program Director.

Use **Form C** to describe in detail the problem or need and what you are requesting. Please use additional sheets or attach supplemental information as required. The respective Program Directors will notify those who submit a Form C as to how the request will be handled.

Note: If a Building Block request includes items that otherwise would be on one of these Form C's, a separate Form C need not be completed. A Form C need is treated separately from Building Block programs at this level. Form C's are often requests that will be combined by a Program Director to create one Building Block.

Judicial Education — Pink Form (Administered by Diane Cowdrey)

The Judicial Education budget includes funds for

- in-state judicial and non-judicial training programs and conferences.
- travel to out-of-state education programs for judges and some administrators.
- Discretionary (local) training money
- Juvenile, District, Justice, and Appellate Court Conferences
- Orientation Academy for new employees
- Annual Judicial Conference and Annual Court Employee's Conference
- Programs for probation officers, clerks, and other non-judicial personnel
- Other conferences and programs (offered by the Judicial Education Department or sponsored by other agencies.)

The Judicial Education budget is carefully constructed to meet the known need of the Judiciary within parameters that we know are acceptable to the Legislature. Any requests for additional Judicial Education resources need to be carefully documented.

If you have specific training needs for judicial or non-judicial personnel that will not be met by the education programs above, please fill out **Form C — Education** and attach it to your worksheet. These are forwarded to the Judicial Education Officer for possible inclusion in the Judicial Education budget.

Information Technology — Green Form (administered by Jerome Battle)

Please fill out **Form C** for both software and hardware support needed for your organization.

Information Services — Yellow Form (administered by Kim Allard)

This Form C is used to request new technology and related equipment that automates court functions, such as imaging, video, kiosks and interactive voice response.

Court Security — Blue Form (administered by Myron March)

When additional funds are requested to increase the contract amount or add additional security/equipment devices, a Form C is completed. These requests should be made by county or contract, since each county has its own security org. Security costs associated with new judge requests should be included on the respective Building Block request for the judge(s).

“Existing services” refers to dollars needed to properly compensate the sheriff for services as currently provided.

“Need internal to sheriff’s department” refers to such things as job reclassifications by the Sheriff’s Department, etc.

Development and Improvement Projects — Purple Form (administered by Gordon Bissegger)

Requests for remodeling are approved and coordinated by the State Court Administrator’s Office. These are handled in separate capital facility budgets.

Moving expenses associated with a new facility should be identified on a Form C.

The Building Board classifies capital facility requests into three categories:

1. Development Projects, which include

- a. remodeling of existing building, grounds, improvements or utility projects of \$1,000,000 or more.
- b. adding space to a building, or construction of a new building, with a cost over \$100,000 or more.
- c. land acquisition

Refer to the first purple form, Form I, check the appropriate box under items 1 and 2, and submit the information required under items 3 through 5.

2. Improvement Projects, which include

- a. remodeling, alteration, and repair projects costing less than \$1,000,000.
- b. grounds and utility improvements costing less than \$1,000,000.

Refer to the second purple form, Form II, check the appropriate box under item 1, and complete items 2 through 4.

3. Statewide Projects, work is limited to one of the following categories:

- a. **Life Safety:** Refers to the protection of people from injury caused by unsafe buildings, structure or equipment.
- b. **Asbestos Abatement:** Study, testing stabilization and removal of asbestos.
- c. **Disabled Access:** Removal of physical barriers that cannot be achieved through programmatic procedures in order for disabled individuals to share in access to job, government services, telecommunications and public accommodations.
- d. **Roofing:** For repairs or replacement of an existing roof in a state-owned building, up to \$150,000 per project. Amounts exceeding \$150,000 should be requested as an Improvement Project.
- e. **Paving:** Any existing parking lot or roadway on state-owned buildings can be requested for repairs or replacement up to \$150,000. Projects over \$150,000 should be requested as an Improvement Project.
- f. **Energy Conservation:** For upgraded HVAC to improve life cycle or efficiency of operations costs, other energy saving modifications.
- g. **Painting and Carpeting:** Installation to replace worn out or damaged carpet and replacement of damaged or old paint.

Refer to the third purple form, Form III, check the appropriate box under item 1, and complete the information requested under items 2 through 4.

The forms should be complete with a project justification narrative, cost estimate and source of estimate. The source should include company name, the name of the person who submitted the estimate, and the phone number. Questions can be directed to Gordon Bissegger (578-3882) or Paul Platt (578-3881).

PART IV — PRIORITIZED SUMMARY OF BUDGET REQUESTS

This chart is structured to prioritize the budget requests submitted by the entire district. **All Building Blocks (FORM B) and any base budget request increase (FORM A) should be listed (FORM C requests are submitted for other programs and should not be included on this document.** However, your justification on the FORM C will impact the placement on the priority submitted by the other program). The base general fund for your district should be noted. The Grand total and percent increase should be computed.

For those requests that have been submitted more than once over the years, the (*) asterisk column can be used to identify the number of years this program has been requested.

During the budget hearing, the comment column can be used to make corrections or indicate approval at this level.

When submitting your budget, this form will be the first form in your budget packet followed by FORM A, the building block requests attached in ORG/Department order (*not prioritized order*). FORM C's are to be submitted separately on colored paper.

Tabs should be used to split ORGS for easy reference. A sample of a budget and forms for preparation are given in Appendix D.